

Employee Post-Travel Disclosure of Travel Expenses

Date/Time Stamp:

SECRETARY OF THE SENATE

17 AUG 18 PM 2:13

Post-Travel Filing Instructions: Complete this form within 30 days of returning from travel. Submit all forms to the **Office of Public Records in 232 Hart Building.**

In compliance with Rule 35.2(a) and (c), I make the following disclosures with respect to travel expenses that have been or will be reimbursed/paid for me. I also certify that I have attached:

- ☒ The **original** *Employee Pre-Travel Authorization* (Form RE-1), **AND**
☐ A **copy** of the *Private Sponsor Travel Certification Form* with all attachments (itinerary, invitee list, etc.)

Private Sponsor(s) (list all): Alliance to Save Energy

Travel date(s): July 21, 2017

Name of accompanying family member (if any): NA

Relationship to Traveler: ☐ Spouse ☐ Child

IF THE COST OF LODGING DID NOT INCREASE DUE TO THE ACCOMPANYING SPOUSE OR DEPENDENT CHILD, ONLY INCLUDE LODGING COSTS IN EMPLOYEE EXPENSES. (Attach additional pages if necessary.)

Expenses for Employee:

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses (Amount & Description)
<input type="checkbox"/> Good Faith Estimate	\$373.12	NA	\$18.00	NA
<input checked="" type="checkbox"/> Actual Amount				

Expenses for Accompanying Spouse or Dependent Child (if applicable):

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses (Amount & Description)
<input type="checkbox"/> Good Faith Estimate	NA	NA	NA	NA
<input type="checkbox"/> Actual Amount				

Provide a description of all meetings and events attended. See Senate Rule 35.2(c)(6). (Attach additional pages if necessary.):

8/18/17
(Date)

PATRICIA ORTIZ
(Printed name of traveler)


(Signature of traveler)

TO BE COMPLETED BY SUPERVISING MEMBER/OFFICER:

I have made a determination that the expenses set out above in connections with travel described in the *Employee Pre-Travel Authorization* form, are necessary transportation, lodging, and related expenses as defined in Rule 35.

8/18/17
(Date)


(Signature of Supervising Senator/Officer)

39TH STORY OF THE SENATE

17 AUG 18 PM 2:14

United States Senate

SELECT COMMITTEE ON ETHICS

June 26, 2017

Patrick Orth
Office of Senator Rob Portman
United States Senate
Washington, DC 20510

Dear Mr. Orth:

This responds to your recent correspondence concerning an invitation you received to travel on a fact-finding trip, to Chicago, Illinois on July 21, 2017, sponsored by Alliance to Save Energy. The Alliance to Save Energy certified to the Select Committee on Ethics (the Committee) that it will pay the *necessary expenses*¹ related to the travel and that it is neither a lobbyist, nor lobbying firm, nor agent of a foreign principal, and it is not otherwise acting as a representative or agent of a foreign government. However, the Alliance to Save Energy has certified that it is an organization designated under § 501(c)(3) of the Internal Revenue Code,² that retains or employs a registered lobbyist, and that no registered lobbyist will accompany you *at any point throughout your trip.*³

Based on information and materials available to the Committee, and assuming the **actual** travel and travel-related expenses conform to the information and materials you provided, it appears that the proposed payment or reimbursement of necessary expenses for this trip **may be accepted** under relevant Senate Rules and the Committee's *Regulations and Guidelines for Privately-Sponsored Travel*, so long as at the time of the payment or reimbursement, the Alliance to Save Energy is neither a registered lobbyist nor lobbying firm under the Lobbying Disclosure Act of 1995, nor an agent of a foreign principal under the Foreign Agents Registration Act (and is not otherwise acting as a representative or agent of a foreign government), and provided the travel and all required documents are disclosed to the Secretary of the Senate in accordance with the provisions of Senate Rules 34 and 35.

Under Senate Rule 35, Senate staff must receive advance authorization signed by the Member or officer under whose direct supervision the individual works in order to accept payment or reimbursement for necessary expenses related to fact-finding travel. Further, such authorization and expenses must be disclosed to the Secretary of the Senate by filing the

¹ The term “necessary expenses” has a specific definition. See *Select Committee on Ethics’ Regulations and Guidelines for Privately-Sponsored Travel – Glossary of Terms* at 8.

² 26 U.S.C. § 501(c)(3).

³ The term “any point throughout your trip” has a specific definition. See *Select Committee on Ethics’ Regulations and Guidelines for Privately-Sponsored Travel – Glossary of Terms* at 2.

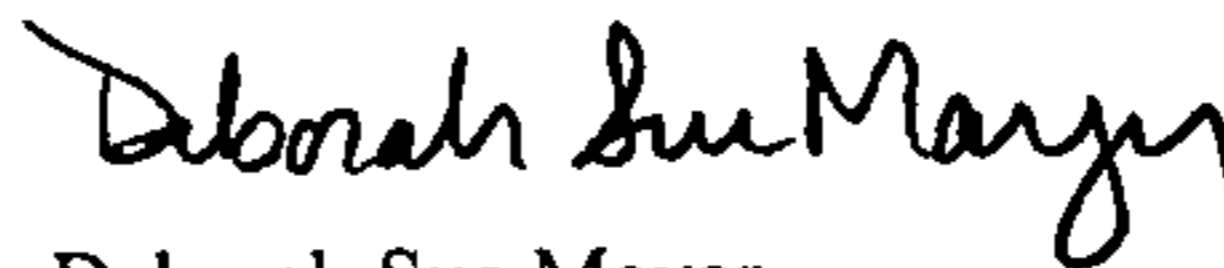
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completed *Employee Pre-Travel Authorization* and the *Employee Post-Travel Disclosure of Travel Expenses* (Form RE-1 and Form RE-2), along with a copy of the *Private Sponsor Travel Certification Form*, and all relevant attachments (e.g., the private sponsor's invitation and itinerary) **within 30 days of the conclusion of Privately-Sponsored Travel.**

Finally, Senate Rule 34 requires a reporting individual,⁴ on his or her Financial Disclosure Report, to make an annual disclosure of the receipt of payments or reimbursements under Senate Rule 35 from a private sponsor for officially-related travel expenses where, in the aggregate, travel expenses exceed \$390 from that sponsor during a calendar year. However, if a Member, officer, or employee properly reports the receipt of necessary expenses for such travel to the Secretary of the Senate within 30 days of the travel, as discussed above, the travel expenses need not be disclosed a second time on their Financial Disclosure Report.

I hope you find this information helpful. If you have any additional questions, please do not hesitate to contact the Committee.

Sincerely,



Deborah Sue Mayer
Chief Counsel and Staff Director

Enclosure: Travel Checklist

⁴ A reporting individual is someone whose salary equals or exceeds 120% of the basic rate of pay for GS-15 (\$124,406 for CY 2017) or is a political fund designee and is required to file Financial Disclosure Reports.

PRIVATE SPONSOR TRAVEL CERTIFICATION FORM

This form must be completed by any private entity offering to provide travel or reimbursement for travel to Senate Members, officers, or employees (Senate Rule 35, clause 2). Each sponsor of a fact-finding trip must sign the completed form. The trip sponsor(s) must provide a copy of the completed form to each invited Senate traveler, who will then forward it to the Ethics Committee with any other required materials. The trip sponsor(s) should **NOT** submit the form directly to the Ethics Committee. Please consult the accompanying instructions for more detailed definitions and other key information.

The Senate Member, officer, or employee **MUST** also provide a copy of this form, along with the appropriate travel authorization and reimbursement form, to the Office of Public Records (OPR), Room 232 of the Hart Building, within thirty (30) days after the travel is completed.

1. Sponsor(s) of the trip (please list all sponsors): Alliance to Save Energy
2. Description of the trip: A fact-finding trip to Illinois to learn about policies and best practices that are helping to drive advances in energy efficiency and energy productivity.
3. Dates of travel: July 21 - July 21, 2017
4. Place of travel: Chicago, IL
5. Name and title of Senate invitees: Please see attached
6. I *certify* that the trip fits one of the following categories:
 - ☐ (A) The sponsor(s) are not registered lobbyists or agents of a foreign principal **and** do not retain or employ registered lobbyists or agents of a foreign principal **and** no lobbyist or agents of a foreign principal will accompany the Member, officer, or employee *at any point* throughout the trip.
 - =OR=**
 - ☒ (B) The sponsor or sponsors are not registered lobbyists or agents of a foreign principal, but retain or employ one or more registered lobbyists or agents of a foreign principal and the trip meets the requirements of Senate Rule 35.2(a)(2)(A)(i) or (ii) (*see question 9*).
7. ☒ I *certify* that the trip will not be financed in any part by a registered lobbyist or agent of a foreign principal.
 - =AND=**
 - ☒ I *certify* that the sponsor or sponsors will not accept funds or in-kind contributions earmarked directly or indirectly for the purpose of financing this specific trip from a registered lobbyist or agent of a foreign principal or from a private entity that retains or employs one or more registered lobbyists or agents of a foreign principal.
8. I *certify* that:
 - ☒ The trip will not in any part be planned, organized, requested, or arranged by a registered lobbyist or agent of a foreign principal except for *de minimis* lobbyist involvement.
 - =AND=**
 - ☒ The traveler will not be accompanied on the trip by a registered lobbyist or agent of a foreign principal except as provided for by Committee regulations relating to lobbyist accompaniment (*see question 9*).

9. **USE ONLY IF YOU CHECKED QUESTION 6(B)**

I *certify* that if the sponsor or sponsors retain or employ one or more registered lobbyists or agents of a foreign principal, one of the following scenarios applies:

☐ (A) The trip is for attendance or participation in a one-day event (exclusive of travel time and **one** overnight stay) and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *on any segment* of the trip.

- OR -

☐ (B) The trip is for attendance or participation in a one-day event (exclusive of travel time and **two** overnight stays) and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *on any segment* of the trip (*see questions 6 and 10*).

- OR -

☒ (C) The trip is being sponsored only by an organization or organizations designated under § 501(c)(3) of the Internal Revenue Code of 1986 and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *at any point* throughout the trip.

10. **USE ONLY IF YOU CHECKED QUESTION 9(B)**

If the trip includes two overnight stays, please explain why the second night is practically required for Senate invitees to participate in the travel:

11. ☒ An itinerary for the trip is attached to this form. I *certify* that the attached itinerary is a detailed (hour-by-hour), complete, and final itinerary for the trip.

12. Briefly describe the role of each sponsor in organizing and conducting the trip:

The Alliance to Save Energy, as the sole sponsor of this trip, was responsible for planning the trip in its entirety and staff members of the Alliance will accompany all participants throughout the duration of the trip.

13. Briefly describe the stated mission of each sponsor and how the purpose of the trip relates to that mission:
Please see attached.

14. Briefly describe each sponsor's prior history of sponsoring congressional trips:

Please see attached.

15. Briefly describe the educational activities performed by each sponsor (other than sponsoring congressional trips):

Please see attached.

16. Total Expenses for Each Participant:

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses
<input checked="" type="checkbox"/> Good Faith estimate <input type="checkbox"/> Actual Amounts	\$450	NA	\$74	

17. State whether a) the trip involves an event that is arranged or organized *without regard* to congressional participation or b) the trip involves an event that is arranged or organized *specifically with regard* to congressional participation:

The trip involves an event that is arranged or organized specifically with regard to congressional participation.

18. Reason for selecting the location of the event or trip

Please see attached.

19. Name and location of hotel or other lodging facility:

NA

20. Reason(s) for selecting hotel or other lodging facility:

NA

000000005121

21. Describe how the daily expenses for lodging, meals, and other expenses provided to trip participants compares to the maximum per diem rates for official Federal Government travel:

For the purposes of this trip, the cost of meals and other incidental expenses will remain within the per diem limit set by the General Services Administration.

22. Describe the type and class of transportation being provided. Indicate whether coach, business-class or first class transportation will be provided. If first-class fare is being provided, please explain why first-class travel is necessary:

Attendees will take a plane to Chicago, which will be coach.

To attend sites in the greater Chicago area we will use public transit, mini bus or taxis for transportation.

23. ☒ I represent that the travel expenses that will be paid for or reimbursed to Senate invitees do not include expenditures for recreational activities, alcohol, or entertainment (other than entertainment provided to all attendees as an integral part of the event, as permissible under Senate Rule 35).

24. List any entertainment that will be provided to, paid for, or reimbursed to Senate invitees and explain why the entertainment is an integral part of the event:

No entertainment will be provided to, paid for or reimbursed to Senate invitees by the Alliance to Save Energy.

25. I hereby *certify* that the information contained herein is true, complete and correct. (You must include the completed signature block below for each travel sponsor.):

Signature of Travel Sponsor: 

Name and Title: Kateri Callahan, President

Name of Organization: Alliance to Save Energy

Address: 1850 M Street, NW, Suite 610, Washington, DC 20036

Telephone Number: (202) 857-0666

Fax Number: (202) 334-9588

E-mail Address: kcallahan@ase.org

For questions, please contact Reed Brown at rbrown@ase.org or (202) 530-2241.

Addendum to Senate Private Sponsor Travel Certification Form

5.

The following staff members have been invited to participate on this trip.

- Mae Stevens, Environmental Policy Advisor, Office of Senator Ben Cardin
- Pat Orth, Legislative Assistance, Office of Senator Rob Portman
- Morgan Cashwell, Legislative Assistant, Office of Senator Angus King

13.

The Alliance to Save Energy promotes energy efficiency worldwide to achieve a healthier economy, a cleaner environment and energy security. To achieve this mission, the Alliance:

- Leads worldwide energy efficiency initiatives in policy advocacy, research, education, technology deployment and communications that impact all sectors of the economy.
- Provides vision and activism which includes active and engaged members of Congress, leaders from business, the public interest sector and academia.
- Initiates and participates in public-private partnerships, collaborate efforts and strategic alliances to optimize resources and expand its sphere of influence.
- Executes its mission through a team of recognized energy efficiency experts and professionals.

The purpose of this trip is learn about policies and best practices that are helping to drive advances in energy productivity across the country. Our hope is that through visits to sites identified on the itinerary and through meetings with local and state officials that the Congressional staff members will be able to learn about state and business activities and, in turn, use that new knowledge to develop, refine and advance policies at the federal level.

14.

The Alliance has previously sponsored several Congressional field trips.

- Field trip to Newark, New Jersey and New York, New York that took place from February 21-23, 2017
- Field trip to Boston, Massachusetts that took place from August 10-12, 2016.
- Field trip to San Francisco Bay Area that took place from August 12-14, 2015.
- Field trip to Hartford, CT on August 22-23, 2012 (including travel days).
- Field trip to Denver, CO on January 11-13, 2012 (including travel days).
- Field trip to Philadelphia, PA on August 26, 2011.
- Field trip from August 28, 2005 – September 2, 2005 to:
 - Berlin, Germany
 - Stuttgart, Germany
 - Brussels, Belgium
 - Terneuzen, Netherlands
 - Rotterdam, Netherlands
 - Amsterdam, Netherlands

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- Field trip to New York and California that took place from November 30, 2004 – December 3, 2004.

15.

The Alliance hosts a range of educational activities.

- Congressional Briefings
 - We host Congressional briefings throughout the year, which typically focus on a particular aspect related to energy efficiency.
 - March 16, 2017: Beyond Roads & Bridges: The Role of Energy Efficiency Policy in Infrastructure Investments
 - July 14, 2016: Congressional Briefing on Grid Edge: The Role of Energy Efficiency in a Modernizing Energy System
 - February 26, 2016: The Role of Benchmarking, Transparency and Codes in Driving a More Efficient Built Environment.
 - January 14, 2016: Cutting Edge Technologies and Businesses: Opening the Door for Energy Efficiency Deployment at Scale
- Energy Efficiency Global Forum
 - An annual event convened in Washington, DC that brings together executives and policymakers from around the world and across sectors to discuss energy efficiency. In 2017, this exclusive forum explored how utilities, regulators, legislators and companies are incorporating cost-effective energy efficiency measures into their business to help meet increasing demand. The next EE Global Forum is scheduled for May of 2018 in Copenhagen, Denmark.
- Accelerate Energy Productivity 2030
 - A partnership between the U.S. Department of Energy, Alliance to Save Energy and Council on Competitiveness to catalyze action in the public and private sectors to help achieve the goal of doubling our nation's energy productivity.
 - As part of this initiative, three webinars were held in April to provide an in-depth look at several unique aspects of energy efficiency:
 - April 13, 2016: Building Technologies and Finance
 - April 20, 2016: Smart Grid and Smart Manufacturing
 - April 27, 2016: Transportation and Water
- Energy 2030 Events
 - Energy 2030 *On the Road* – These are education, outreach and action campaigns aimed at urging communities through the nation to adopt the goal of doubling U.S. energy productivity. They are held around the country and last year included stops in Seattle, WA, Raleigh, NC and Minneapolis, MN. They follow the same format of other events where panelists discuss a specific theme of energy efficiency and are widely attended by members of local governments, academia, local and state government and the surrounding community.
- Policy Perspectives Breakfasts
 - Breakfast sessions where we invite a representative from a Federal agency or Congressional office (Senator/Congressman) to come and speak about priorities or updates regarding energy efficiency for the respective agency or office. There

are plans for several of these events in 2017, including in Washington, DC and around the country.

18.

There are several reasons why we have chosen Illinois as the destination for this trip.

- The American Council for an Energy-Efficiency Economy (ACEEE) produces the annual State Energy Efficiency Scorecard, which ranks states based on energy efficiency policies and practices. Illinois has consistently been in the top 10, and ranked #13 in 2016. The state offers loan and bond programs to encourage energy efficiency, and leads by example by requiring efficient fleets and public buildings. The state has several ongoing energy performance contracts. Research focused on energy efficiency occurs at several research centers in Illinois. In addition to the state ranking, ACEEE also ranks a selection of major cities on the same criteria and Chicago was ranked #7 in 2017. Therefore, Chicago is an excellent option for such a trip because we can incorporate strong local level actions along with the broader state-level actions.
- The Alliance to Save Energy is also hosting a public briefing in the Chicago metro area on July 21, which will be included as part of the agenda. The briefing is entitled, “Making the Business Case: How Data is Driving Energy Efficiency Investment in Chicago,” and will feature speakers from state and local government, regional organizations and local business leaders. A full agenda for the event is included below.
- The Greater Chicago area boasts a wide range of field examples and opportunities to learn about energy efficiency, including:
 - ComED
 - Commonwealth Edison Company (ComEd) provides electric service to approximately 3.8 million customers across northern Illinois, or 70 percent of the state’s population. ComEd is a subsidiary of Exelon Corporation (NYSE: EXC), the nation’s leading competitive energy supplier.
 - The Chicago Training Center, and its sister facility in Rockford, were made possible by the smart grid law passed by the Illinois General Assembly in 2011. The smart grid law opened the doors for ComEd to modernize its 100-year old electric delivery system and provide customers with improved power reliability and more programs and options to manage electricity usage, while also enhancing economic development in Illinois and building smart infrastructure for the future. The new facility is the second training center that ComEd has built from the ground up in its 130-plus-year history. It is specially designed to educate and train the workforce of the future.
 - Schneider Electric & Shedd Aquarium
 - Schneider Electric is the global specialist in energy management and automation. Schneider Electric develops connected technologies and solutions to manage energy and process in ways that are safe, reliable, efficient and sustainable. The Group invests in R&D in order to sustain innovation and differentiation, with a strong commitment to sustainable development.

- Shedd Aquarium in Chicago, IL is currently home to more than 1,500 species, including fish, marine mammals, birds, snakes, amphibians, and insects from all over the world. In 2013, the aquarium committed to an ambitious goal of cutting energy consumption in half by 2020. Achieving that goal meant conducting extensive research and analysis to identify problem areas. The Schneider Electric Building Management System (BMS) allows Shedd Aquarium to manage everything inside the building from lighting, via life support systems, to HVAC.

Policy Perspectives
Making the Business Case: How Data is Driving Energy Efficiency Investment in Chicago

Friday, July 21 | 9:00 am - 11:00 am

9:00 am - 9:10 am	Breakfast & Registration
9:10 am - 9:15 am	Welcome Remarks Dana Soukup, SVP, Field Operations, Building Technologies Division, Siemens Industry Inc.
9:15 am - 9:30 am	Keynote Remarks Representative Bobby Rush (D-Ill.)
9:30 am - 10:30 am	Making the Business Case: How Data is Driving Energy Efficiency Investment in Chicago
Moderator:	Stacey Paradis, Executive Director, Midwest Energy Efficiency Alliance
Speakers:	Val Jensen, Senior Vice President, Customer Operations, ComEd Brien J. Sheahan, Chairman, Illinois Commerce Commission Dana Soukup, SVP, Field Operations, Building Technologies Division, Siemens Industry Inc. Chris Wheat, Chief Sustainability Officer & Senior Policy Advisor, Office of the Mayor, City of Chicago
10:30 am	Closing Remarks Kateri Callahan, President, Alliance to Save Energy

Thursday, July 20th	
8:30 PM	Depart Washington National Airport American Airlines Flight 1626* *Possible flight - airfare not yet purchased
9:44 PM	Arrive at Chicago O'Hare Airport
10:00 PM	Cab from Airport to hotel
10:30 PM	Arrive at Hyatt Place Chicago Downtown The Loop* 28 N Franklin St, Chicago, IL 60606 Location chosen based in proximity to agenda locations *Rooms not yet reserved
Friday, July 21st	
8:00 AM	Wakeup Call and Breakfast
8:45 AM	Depart for Midwest Energy Efficiency Alliance <i>Walk</i>
9:00 AM	Arrive at Midwest Energy Efficiency Alliance office 20 N Upper Wacker Dr., Chicago, IL 60606 <i>Stacey Paradis, Executive Director, Midwest Energy Efficiency Alliance</i> Policy Perspectives is an event series that the Alliance hosts throughout the year. Policy Perspectives speaker series provides exclusive opportunities for Alliance Associate & Board members to connect with key energy efficiency policymakers in an intimate and informal setting. Highly regarded by both our members and former event speakers, these gatherings offer candid discussions about the future of energy efficiency policy and the potential impact on key industry stakeholders, businesses and NGOs. This particular Policy Perspectives event will focus on energy productivity in the Chicago metro area and feature staff from Siemens as well as local officials and industry leaders.
11:00 AM	Conclusion of "Policy Perspectives" Event Begin Roundtable Luncheon with meeting speakers and attendees.
12:00 PM	Conclude Roundtable Luncheon and Depart for ComEd Chicago Training Center <i>Cab</i>
12:30 PM	Arrive at ComEd Chicago Training Center for Tour 3535 S. Iron St. <i>Val Jensen, Senior Vice President, Customer Operations, ComEd</i> Training the energy workers of the future in the most efficient technology practices is a huge challenge facing the industry today. The facility at 3535 S. Iron St. houses 40 full-time staffers who train energy workers in 51,000 square feet of classroom and indoor training space, designed with utility poles where linemen can practice their trade. The facility provides significant economic and community benefits while meeting the need to train current and future workers on managing a modern electric delivery system. The tour will provide participants with an inside look at how ComEd is helping to build a community of the future through features like the Smart Energy Hub, a one-of-a kind interactive station designed to help elementary, middle high school students and adults learn about how electricity is generated and delivered and the technologies available to manage electricity usage and save money on electric bills.
2:30 PM	Depart for Shedd Aquarium <i>Cab</i>
3:00 PM	Arrive at Shedd Aquarium for Meeting & Tour 1200 S Lake Shore Dr., Chicago, IL 60605

	<p><i>Trisha Knych, Vice President, Government Relations, Schneider Electric</i> <i>Elizabeth Joyce, Strategic Partnership Builder, Shedd Aquarium</i></p> <p>The group will be meeting with Shedd Aquarium and Chicago-based Schneider Electric staff, to be followed by a private, efficiency-focused tour of the Aquarium. In 2013, the aquarium committed to an ambitious goal of cutting energy consumption in half by 2020. The Schneider Electric Building Management System (BMS) allows Shedd Aquarium to manage everything inside the building from lighting, via life support systems, to HVAC. The tour will allow participants to learn about how the applications of Schneider technologies are enabling different types of buildings and businesses to be more efficient.</p>
5:15 PM	Depart Shedd Aquarium for Dinner in Downtown Chicago/Waterfront Area
6:30 PM	Conclusion of Trip – Transportation to Chicago O’Hare Airport for flight back to Washington National Airport
8:00 PM	<p>American Airlines Flight 154* Departs for Washington National Airport</p> <p>*Possible flight – airfare not yet purchased</p>
11:00 PM	Arrive at Washington National Airport in Washington, DC